

§ 259.5s

§ 259.5s Form U5S, for annual reports filed under section 5(c) of the Act.

This form shall be filed pursuant to Rule 1(c) (§250.1(c) of this chapter) for the annual report required to be filed under section 14 of the Act by every registered public utility holding company.

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form U5S, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

Subpart B—Forms for Applications and Declarations

§ 259.101 Form U-1, application or declaration under the Public Utility Holding Company Act of 1935.

This form shall be used pursuant to Rule 20(c) (§250.20(c) of this chapter) by any person filing an application or declaration or amendment thereto pursuant to sections 6(b), 7, 9(c)(3), 10, 12(b), (c), (d), or (f) of the Public Utility Holding Company Act of 1935 or any rules and regulations under such sections, where no other form is authorized or prescribed.

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form U-1, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

§ 259.113 Form U-13-1, for applications for approval of mutual service companies pursuant to Rule 88 (§ 250.88 of this chapter).

This form shall be filed pursuant to Rule 88 (§250.88 of this chapter) for approval of a company as a mutual service company, by the company or person proposing to organize it under section 13 of the Act.

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form U-13-1, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

17 CFR Ch. II (4-1-01 Edition)

Subpart C—Forms for Statements and Reports

§ 259.206 Form U-6B-2, for notification of security issues exempt under section 6(b) of the Act.

This form shall be filed pursuant to section 6(b) of the Act as the certificate of notification of the issue, sale, renewal, or guaranty of securities exempted from the application of section 6(a) of the Act.

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form U-6B-2, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

§ 259.207 Form U-57, for notification of foreign utility company status pursuant to Rule 57(a) (§ 250.57 of this chapter).

This form shall be filed pursuant to section 33(a)(3)(B) of the Act by a company claiming foreign utility company status.

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form U-57, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

§ 259.208 Form U-9C-3, for notification of acquisition of securities exempt from section 9(a) pursuant to rule 58 (§ 250.58 of this chapter).

This form shall be filed pursuant to §250.58(c) as the certificate of notification of an acquisition of securities exempted from the application of section 9(a) of the Act (15 U.S.C. 79a *et seq.*) pursuant to §250.58.

[62 FR 7917, Feb. 20, 1997]

§ 259.212a Form U-12(I)-A, for statement of activity within scope of section 12(i) of the Act pursuant to Rule 71(a) (§ 250.71(a) of this chapter).

This form shall be filed pursuant to Rule 71(a) (§ 250.71(a) of this chapter) by any person who engages in any activity within the scope of section 12(i) of the Act.